

UNITED STATES DISTRICT COURT
WESTERN DISTRICT OF NORTH CAROLINA
CHARLOTTE DIVISION

SECURITIES AND EXCHANGE COMMISSION,

Plaintiff,

v.

No. 3:16-cv-00208 (GCM)

GEORGE A. MOORE III

and

JOSEPH R. DEROSA,

Defendants,

and

LISA A. DEROSA,

Relief Defendant.

FINAL JUDGMENT AS TO RELIEF DEFENDANT LISA A. DEROSA

The Securities and Exchange Commission having filed a Complaint and Relief Defendant Lisa A. DeRosa (“Relief Defendant”) having entered a general appearance; consented to the Court’s jurisdiction over Relief Defendant and the subject matter of this action; consented to entry of this Final Judgment without admitting or denying the allegations of the Complaint (except as to jurisdiction); waived findings of fact and conclusions of law; and waived any right to appeal from this Final Judgment:

I.

IT IS HEREBY ORDERED, ADJUDGED, AND DECREED that Relief Defendant is liable, jointly and severally with Defendant Joseph R. DeRosa, for disgorgement of \$26,175.00, representing profits gained as a result of the conduct alleged in the Complaint, and

prejudgment interest of \$4,395.00. Relief Defendant shall satisfy this obligation by paying \$30,570.00 to the Securities and Exchange Commission pursuant to the terms of the payment schedule set forth in paragraph II., below, after entry of this Final Judgment.

Relief Defendant may transmit payment electronically to the Commission, which will provide detailed ACH transfer/Fedwire instructions upon request. Payment may also be made directly from a bank account via Pay.gov through the SEC website at <http://www.sec.gov/about/offices/ofm.htm>. Relief Defendant may also pay by certified check, bank cashier's check, or United States postal money order payable to the Securities and Exchange Commission, which shall be delivered or mailed to

Enterprise Services Center
Accounts Receivable Branch
6500 South MacArthur Boulevard
Oklahoma City, OK 73169

and shall be accompanied by a letter identifying the case title, civil action number, and name of this Court; Lisa A. DeRosa as a relief defendant in this action; and specifying that payment is made pursuant to this Final Judgment.

Relief Defendant shall simultaneously transmit photocopies of evidence of payment and case identifying information to the Commission's counsel in this action. By making this payment, Relief Defendant relinquishes all legal and equitable right, title, and interest in such funds and no part of the funds shall be returned to Relief Defendant. The Commission shall send the funds paid pursuant to this Final Judgment to the United States Treasury.

The Commission may enforce the Court's judgment for disgorgement by moving for civil contempt (and/or through other collection procedures authorized by law) at any time after fourteen (14) days following entry of this Final Judgment. Relief Defendant shall pay post

judgment interest on any delinquent amounts pursuant to 28 U.S.C. § 1961.

II.

IT IS FURTHER ORDERED, ADJUDGED, AND DECREED that Relief Defendant shall pay, jointly and severally with Defendant Joseph R. DeRosa, the total of disgorgement, prejudgment interest due of \$30,570.00 in two (2) installments to the Commission according to the following schedule: (1) \$15,000.00, within one hundred eighty (180) days of entry of this Final Judgment; and (2) \$15,570.00, plus accrued interest, within two hundred seventy (270) days of entry of this Final Judgment. Payments shall be deemed made on the date they are received by the Commission and shall be applied first to post-judgment interest, which accrues pursuant to 28 U.S.C. § 1961 on any unpaid amounts due after fourteen (14) days of the entry of Final Judgment. Prior to making the final payment set forth herein, Relief Defendant shall contact the staff of the Commission for the amount due, including post-judgment interest, for the final payment.

If Relief Defendant fails to make any payment by the date agreed and/or in the amount agreed according to the schedule set forth above, all outstanding payments under this Final Judgment, including post-judgment interest, minus any payments made, shall become due and payable immediately at the discretion of the staff of the Commission without further application to the Court.

III.

IT IS FURTHER ORDERED, ADJUDGED, AND DECREED that this Court shall retain jurisdiction of this matter for the purposes of enforcing the terms of this Final Judgment.

IV.

There being no just reason for delay, pursuant to Rule 54(b) of the Federal Rules of Civil Procedure, the Clerk is ordered to enter this Final Judgment forthwith and without further notice.

Signed: May 12, 2016



Graham C. Mullen
United States District Judge

